

Establishing an Open-Access Publishing Fund at the University of Minnesota

Scholarly publishing has long served to facilitate communication and collaboration among researchers and to disseminate ideas and knowledge. Providing open access to published research greatly increases the speed and efficiency of communication among researchers, and disseminates ideas far more widely than ever before – but embracing the advantages of new technologies also requires developing new approaches to key issues such as management of intellectual property rights and sustainable models.

Open Access Options

Researchers who wish to make their works openly accessible have an array of options. Some closely resemble long-established journal publishing processes; others are more innovative. Common open access options include:

- Authors retaining the right to distribute copies of their works online, via personal websites, institutional repositories, and/or subject-related repositories.
- Authors choosing to publish only in fully open access publications, in which all contents are freely publicly available.
- Authors publishing in a “closed-access” journal that allows individual articles to be made openly available (so-called “hybrid” open access).

Fully open access publications and hybrid publications are often supported through institutional funds via grants, hosting or service provision, membership fees, or subscriptions. But authors also often have to pay significant fees to make their works openly accessible in these venues. Individual authors’ access to funds that can be leveraged for open access fees varies widely, imposing unequal burdens on authors.

Open Access Funds at Other Institutions

Many leading institutions have addressed these challenges by creating funds to help authors meet the new costs of open access publishing. The sixteen signatories of the Compact for Open Access Publishing Equity (COPE), for example, have established “durable mechanisms for underwriting reasonable publication charges for articles written by [their] faculty.” Other institutions have developed their own policies and procedures.

Most institutional open access funds include principles and criteria related to:

- **Eligible Submissions**– which types of publications are eligible (hybrid/full OA; articles/monographs/data/proceedings)
- **Author eligibility** – which individuals are eligible to apply for funds
- **Effects of external fund availability (grants, etc.)**
- **Appropriate and sustainable administration of the open access fund**

Proposal

The Senate Library Committee proposes that University of Minnesota establish an institutional fund to underwrite University of Minnesota authors' costs in making their published works openly accessible. The fund would be supported by both the Office of the Vice President for Research and the University Libraries, and would be overseen by a review panel comprised of sponsors and faculty, with a role of reviewing eligibility (not content). The fund would cover all scholars on all campuses.

We recommend the following standards and principles.

- Eligible submissions
 - Funds are available for peer-reviewed journal articles, scholarly monographs, conference proceedings, and data sets.
 - Funds may be used only to cover open access publication and submission fees.
 - Author fees for open access journals (as determined by listing in the Directory of Open Access Journals,¹ membership in the Open Access Scholarly Publishers Association, or adherence to Open Access Scholarly Publishers Association Code of Conduct)² will be covered in full. Author fees for “hybrid” journals will be covered up to 50%.
 - Funds may not be used for publications that do not make works fully openly available immediately upon publication.
- Author eligibility
 - All scholars (faculty, researchers, post-docs, graduate students, and staff) at the University of Minnesota may apply for funds for their publications that otherwise qualify.
 - Authors receiving funds must deposit a copy of the publication in an approved open access repository, such as the University Digital Conservancy (the University of Minnesota's institutional repository.)
 - In the case of joint authorship, support for author fees will be pro-rated based on the proportional contribution of the University of Minnesota.
- Effects of external fund availability (grants, etc.)
 - Authors with no external funding associated with the publication will be given priority, but authors who have external funding that cannot be used to underwrite open access fees will also be eligible. Fees occurring after the closure of a grant are eligible.
 - Authors who *could have* applied for grant coverage of open access fees but failed to do so will not usually be eligible for institutional open access support, unless their grant application was made before the institutional open access fund existed.

¹ Directory of Open Access Journals <http://www.doaj.org/>

² Open Access Scholarly Publishers Association and Code of Conduct: <http://www.oaspa.org/>

We recommend that the fund be piloted with no less than \$20,000 per year of available support to authors, and that funds be distributed on a rolling basis. The program's support levels and effectiveness should be evaluated as funds are exhausted or at the end of two years, whichever occurs sooner. OVPR and the University Libraries will partner to raise awareness of this new support for the wide dissemination of the research of University of Minnesota scholars. In addition, the OVPR and the University Libraries will provide the Senate Library Committee and the Senate Research Committee with a report on the program annually that includes a listing of the journals where the papers supported by this program have been published.

Appendix: Further information

Article Processing Fees (from SPARC)

<http://www.arl.org/sparc/publisher/incomemodels/guide2-1.shtml>

This explains the different variations of article processing fees, the rationales for the fees and the transition for some publishers to the hybrid model.

Campus-based Open Access Publishing Funds (from SPARC)

<http://www.arl.org/sparc/openaccess/funds/>

This page includes the pdf of the guide "Campus-based Open Access Publishing Funds: A practical guide to design and implementation" by Greg Tananbaum (Feb 2010), as well as templates for FAQ and fund applications.

Compact for Open Access Publishing Equity (COPE)

Overview: <http://www.oacompact.org/>

List of signatories: <http://www.oacompact.org/signatories/>

OA Journal Funds (in the Open Access Directory)

http://oad.simmons.edu/oadwiki/OA_journal_funds

More comprehensive than the SPARC list, includes European and Canadian institutions and links to the web-sites for the funds.

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Approved by the Academic Freedom and Tenure Committee on April 20, 2012

Approved by the Senate Research Committee on April 30, 2012